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PART II

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Office of the Assistant Secretary For Community Planning and Development

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INNOVATIVE GRANT—FISCAL YEAR 1979

Competitive Solicitation

[4210-01-M]

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Office of the Assistant Secretary for Community Planning and Development

[Docket No. N-79-908]

INNOVATIVE GRANT—FISCAL YEAR 1979

Competitive Solicitation

AGENCY: Department of Housing and Urban Development.

ACTION: Notice regarding Innovative Grant competition—Solicitation for Fiscal Year 1979.

SUMMARY: HUD is inviting proposals from units of general local government for Innovative Grants to: (1) assist low- and moderate-income residents to remain in neighborhoods which are in the process of revitilization, or (2) provide opportunities for low- and moderate-income residents to move outside cities, if they so desire, on an areawide, intergovernmental basis. An applicant may submit a proposal which addresses either (1) or (2). *If both (1) and (2) are to be addressed by one applicant, separate applications must be submitted.*

FOR FURTHER INFORMATION CONTACT:

Robert L. Blake, Director, Secretary's Fund Division, Office of Policy Planning, Room 7138, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410. Telephone number: (202) 755-6092. Program information kits are available upon request.

DATE: Applications are due by May 7, 1979.

General Information

Many factors such as increased property taxes, property acquisition by public and private entities, and the lack of adequate housing opportunities often force low- and moderate-income residents to move involuntarily out of neighborhoods undergoing revitilization. Further, when low- and moderate-income residents prefer to move out of a metropolitan area adequate and affordable housing with reasonable access to employment opportunities, as well as supportive social and commercial services, is often not available.

The President, in his March 27, 1978 message to the Congress on National Urban Policy, called for a new partnership, involving all levels of government, citizens and the private sector, aimed at making cities more healthy and improving the lives of people who live in them. In announcing the policy, the President indicated that it represents a comprehensive, long-term commitment to the Nation's urban areas.

The President identified five guiding principles of the urban policy as: (1) combining the resources of Federal, State, and local governments to conserve and strengthen cities and communities; (2) increasing access to opportunity for the disadvantaged; (3) simplifying and improving programs and policy at all levels of government; (4) flexibility in responding to the needs of communities; and (5) involving citizens in the efforts to meet the social and economic needs of their communities.

In accordance with the President's urban initiatives, HUD Secretary Patricia Roberts Harris has authorized a new competitive solicitation for Innovative Grants with special focus on public and private neighborhood revitalization activities causing displacement and relocation of low- and moderate-income households and the accompanying need for expanded housing opportunities on a neighborhood, as well as an areawide, intergovernmental basis for persons of low and moderate income.

For the purposes of this program notice, the following definitions will apply:

(1) The phrase "neighborhoods undergoing revitalization" refers to any specifically delineated geographic sector of a locality where public and/or private reinvestment is causing, or has the potential to cause, significant displacement and relocation of the households currently residing in the subject neighborhood.

(2) The term "displacement" refers to any direct or indirect action, whether publicly or privately initiated, which forces or encourages low- and moderate-income households to move.

(3) The term "relocation" refers to any move, voluntary or involuntary, as a result of publicly or privately caused displacement and the reestablishment of the household and/or business at a new location with appropriate financial or other assistance.

PROPOSAL OBJECTIVES

HUD will consider for funding, on a competitive basis, proposals for Innovative Grants which relate to either one of the following subject purposes:

(1) To assist low- and moderate-income residents of neighborhoods undergoing revitalization to remain in the neighborhood, if they so desire, by improving neighborhood as well as individual housing resources. The assistance proposed should include a strategy for the use of Innovative Grant funds and other Federal, State, local and private assistance to minimize or avoid actions causing, or with the potential to cause, displacement and the subsequent relocation of neighborhood residents. If displacement is unavoidable and relocation is necessary, applicants must submit a plan for permanent and/or temporary relocation. This plan must contain a timetable which describes why, how, when and where relocation will take place and what steps will be taken to minimize hardship upon the residents. For permanent relocation, this assistance must include provision of housing which is (a) decent, safe and sanitary, (b) within their financial means and (c) as feasible, in locations which will include amenities which are an improvement over those in existence in the subject neighborhoods and areas. The plan must also insure that appropriate relocation assistance will be provided to displaced residents pursuant to the provisions of the Uniform Relocation Act of 1970 as applicable, but must not duplicate any services already being provided to such residents under the 1970 Uniform Relocation Act by the applicant or other public entity.

(2) To provide opportunities for low- and moderate-income residents of neighborhoods undergoing revitalization to move outside cities, if they so desire, to improved housing on an areawide, intergovernmental basis. The assistance proposed should include a strategy to insure that such moves will be coordinated in a manner as to foster neighborhood diversity, stability and expanded housing opportunities. The applicant must submit a plan with a timetable which describes why, how, when and where relocation is anticipated and what steps will be taken to minimize hardship on the residents. The plan must insure that counseling and other appropriate relocation assistance will be provided to the residents. This assistance must include provision of housing which is (a) decent, safe and sanitary, (b) within their financial means and (c) as feasible, in locations which will include amenities and supporting social and commercial services which are an improvement over those in existence in the subject neighborhoods and areas. The relocation assistance must not duplicate any services already being provided to such residents under the provisions of the Uniform Relocation Act of 1970.

Supplementary Information

The Innovative Grant Program is authorized by Section 107(a)(4) of the Housing and Community Development Act of 1974, as amended, (42 U.S.C. 5301 et seq.). The program funds projects which are untried, unique or advance the state of the community development art or which meet special needs. This notice informing eligible applicants of requirements for propos-

als is published pursuant to 24 CFR 570.406(b)(3)(i).

Eligible applicants are units of general local government as defined in the Community Development Block Grant regulations at 24 CFR 570.3(v). Proposals must be submitted by the Chief Executive of the Unit of general local government and must contain the certifications required by 24 CFR 570.307 with the exception of (d) and (f). Proposed activities must meet the eligibility requirements of 24 CFR Part 570, Subpart C and in addition, the applicant must certify that citizens likely to be affected by the proposed project, particularly low- and moderate-income persons, have been provided an opportunity to comment on the proposal.

It should be noted particularly that the Office of Management and Budget Circular A-95 must be followed as well as the provisions of the Uniform Relocation Act of 1970. Certifications, state and sub-state agency A-95 comments and additional supportive information as required by this notice and 24 CFR 570.406 must accompany the proposal and will not be accepted after May 7, 1979. Failure on the part of the applicant to comply with any one of these requirements will be sufficient cause for disqualification.

Award of Grant:

Grants of up to two years duration from the date of grantee signature on the grant agreement will be awarded on the basis of the following selection criteria:

1. The extent to which the proposal represents innovative approaches and techniques towards solving the urban problems identified in categories (1) or (2) under *Proposal Objectives;*

2. The extent to which the identified problem is common to a substantial number of communities and the extent to which the proposed approach can be adapted and replicated in a significant number of other communities;

3. If category (1) as described under *Proposal Objectives* is the objective of the applicant, the extent to which the proposed project avoids displacement of low- and moderate-income residents and small businesses;

4. If relocation is anticipated the specificity, completeness, and potential effectiveness of the relocation plan;

5. If category (2), as described under *Proposal Objectives* is the focus of the applicant, the extent to which the activities are areawide and intergovernmental must be explicit in the proposal;

6. The overall technical merit of the proposed project;

7. The assurance of timely public and private resource commitments to the project including commitments to continue the process described after completion of the proposed Innovative Grant;

8. The adequacy of the proposed plan for managing and evaluating the project; and

9. The financial and staff capacity of the applicant to effectively implement a project of the type and scope proposed.

Application Requirements:

Applications for Innovative Grants shall include all of the following required submissions:

1. A brief letter of transmittal containing the signature of the Chief Executive and the designated project leader who will be primarily responsible for execution of the project;

2. Standard Form 424;

3. A one-page abstract of the project summarizing the proposed activities;

4. A project narrative statement describing:

(a) The nature of the problem including a description of the physical economic and social characteristics of the project sites;

(b) The goals and objectives of the project;

(c) The proposed solution;

(d) Evidence of firm financial and staff resource commitments, both public and private, to be used;

(e) The management plan including a description of the professional experience and management capacity of key project personnel including those in cooperating agencies and organizations;

(f) The tasks to be carried out;

(g) The plan for evaluation including measurable planning and program criteria; and

(h) Other information necessary to describe the applicant's proposed project and to address the selection criteria described under *Award of Grants.*

5. A proposed budget clearly showing by line item, the expenditure of HUD and other public and private funds on HUD Form 7067;

6. The certifications required by 24 CFR 570.307 except (d) and (f);

7. Evidence of coordination with approved Housing Opportunity Plans for the applicant unit(s) of general local government as appropriate;

8. Cooperation agreements for multijurisdictional applications as appropriate;

9. Certification that the applicant agrees to comply with Innovative Grant reporting requirements which include at a minimum, quarterly and final project reports containing findings, conclusions and a description of progress towards achievement of project goals and objectives;

10. Certification that the applicant agrees to designate appropriate representatives to attend required meetings and conferences for Innovative Grant recipients.

Application Submission Procedures

Proposals must be delivered or postmarked no later than May 7, 1979. The original plus two copies of the proposal shall be submitted to the Office of Policy Planning, Room 7138, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410. Simultaneously, one informational copy of the proposal shall be sent to the HUD Regional Administrator and one complete copy with attachments shall be sent to the Area Office serving the jurisdiction of the applicant.

Applicant Notification

All applicants will be notified by mail of the final results of the competition after selections are made. Applications which do not meet all the requirements specified above by the deadline date will be returned and will not be considered in the competition. HUD reserves the right to decline to fund any or all proposals received under this solicitation if they are not deemed of sufficient quality and relevance to the objectives specified in this notice.

In connection with the environmental review of the notice, a Finding of Inapplicability has been made under HUD Handbook 1390.1, 38 FR 19183. A copy of the Finding is available for inspection in the Office of Rules Docket Clerk, Room 5218, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Issued at Washington, D.C., December 21, 1978.

Robert C. Embry,
Assistant Secretary for Community Planning and Development.

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